

CALIFORNIA STATE LIBRARY

LIBRARY SERVICES AND TECHNOLOGY ACT (LSTA) PROGRAM

CRITERIA FOR PRESERVATION AND DIGITIZATION PROJECT GRANTS

The Library Services and Technology Act (LSTA) is a funding source for grants to libraries for expanding services for learning and access to information; developing electronic networks and linkages; encouraging resource-sharing; promoting public-private partnerships; targeting services to people of diverse geographical, cultural, and socioeconomic backgrounds; and targeting services to people who have difficulty using a library. The purpose of these guidelines is to identify criteria for preservation and digitization grants awarded under LSTA by the California State Library.

The State Library uses LSTA funds in support of the California Preservation Program and to implement the preservation provisions of the State Plan for LSTA in California. Digitization grants are awarded to extend access to preserved materials, and to reduce demand for fragile originals by providing digital surrogates, but not to substitute for preservation of historically important materials. In general, traditional preservation activities such as book repair will not be considered competitive. Grant proposals are accepted for preservation and digitization of library materials, with special consideration given to proposals relating to individually distinct collections (but not entire libraries) to maximize the use of limited funding. In approved cases, a collection may include archives.

Grant applications are evaluated on the following criteria (not in priority order):

1. Eligibility. Project proposals may be submitted by any library or groups of libraries eligible for LSTA grants.
2. Needs assessment. The needs assessment should include both a collection assessment (a detailed description of the items to be digitized or preserved, explaining their significance, uniqueness, and value to statewide resource-sharing) and a client assessment involving present and potential users of the materials (information may be compiled through surveys, focus groups, data analysis, interviews, literature searches, etc.).
3. Purpose and activities. Proposals may address any of the eligible purposes, activities, and methods of LSTA. Types of projects encouraged are those that achieve a tangible result such as saving an eminent endangered collection or making unquestionably valuable resources accessible to a broad user community. Other qualified projects are those that contribute to statewide preservation planning, administration, training, and cooperative endeavors such as development of infrastructure for preservation and digitization, and creation of statewide preservation information resources.

4. Qualified subject categories of materials. Projects may include historical, social, and cultural materials relating to California in all formats normally collected by libraries. Applicants should furnish evidence of the relevance, significance, and enduring value of the collection to the state's heritage or its pertinence to California's historical, cultural, educational or economic vitality. Local history collections may qualify for LSTA grants; those of statewide or universal interest in contrast to those of purely local, limited interest to a narrow clientele are more competitive. In proposing projects, applicants are advised to select collections based on evidence of value to the library user, such as documented user demand, opportunities for sharing unique treasures and, when several libraries propose participating in digitization projects, opportunities for combining scattered materials into virtual collections.
5. Description/Collection assessment. Applicants must describe the collection to be preserved and/or digitized. Some key factors are size, format(s), physical condition, and amount of current use by patrons of the collection. Statements of preservation needs and client needs for access are required as part of the application process, and are important ingredients in determining the competitiveness of the application. There are no restrictions on formats of original documents in the preservation and digitization projects of the LSTA program; however, special priorities may be announced by the State Library in a given year.
6. Access and copyright. Projects must ensure wide knowledge of and access to the content of materials preserved and digitized, e.g. by loading catalog records in OCLC, finding aids in the Online Archive of California, etc. Availability of the materials for resource sharing is mandatory to qualify for a grant. The applicant must note any conditions placed on availability of the material that would restrict resource sharing; these may reduce the competitiveness of a proposal. Some limitations, such as fees for access, are not permissible for a grant. Copyright and other rights management issues must be resolved by the applicant for digitization elements of projects. *
*See the "*Bits of History*" Copyright Guide (<http://www.rosenlaw.com/html/Internet.PDF>)
7. Unprocessed collections. Applicants proposing projects to process materials should describe the present state of processing of the collection and indicate efforts made to obtain processing support from the parent organization, donors, and other sources. Projects involving gifts of collection materials and backlogs not previously dealt with by the applicant library because of low institutional priority, or lack of demonstrated or acknowledged external value, are not competitive for LSTA funding.
8. Project objectives. Preservation and digitization projects may meet one or a combination of objectives. Examples: physical preservation such as repair of materials of permanent value and conservation of rarities; reformatting such as microfilming and digitization; bibliographic access in conjunction with preservation and digitization (i.e., online cataloging, indexing, metadata, and finding aids); and improved delivery such as transmission of digital full-text versions via the Internet).
9. Technologies and methods. Traditional physical preservation methods – repair, conservation, and protective enclosures – will generally not be competitive for LSTA grants. For reformatting, preservation microfilming and preservation photocopying to accepted standards are appropriate. * For digitization, conformance to accepted or emerging technical and metadata standards is required for a project to be competitive. Further, an applicant's plan to ensure continuing access to the digital version beyond the completion of the project is critical to the success of the application; digitization should not be undertaken without a long-term access plan unless the project's goal is to demonstrate new technologies or methods. Digitization

generally is not considered a preservation strategy except insofar as it reduces handling of originals.

*See the California State Library Web site (<http://www.library.ca.gov/html/grants.cfm>) for metadata and scanning standards

10. Matching funds. Projects are required to present matching funds as determined annually by the State Library. Use of in-kind funds to provide the match will be considered on a case-by-case basis.
11. Applicant qualifications. Applicants must document in-house or outsourcing capability to handle the proposed project

ADMINISTRATIVE GUIDELINES

The following administrative considerations govern the State Library's evaluation of preservation and digitization grant applications:

1. Proposals from archives and museums are not eligible for LSTA, which is a library program. Museums having libraries may apply on their behalf for projects related to library materials, data records, and/or programs. Other cultural institutions with document collections may apply in partnership with a library if the library is the lead applicant and the project pertains to library goals.
2. Applicants whose projects are more suitable for other state funding, e.g. the California Library Services Act, the Civil Liberties program, the state-funded literacy programs, or other state-level opportunities, will be referred to those sources as applicable.
3. Applicants whose projects contain objectives that fall within another public or private extramural assistance program will be advised about re-structuring or re-directing their applications to avoid duplication. Examples of these programs are: National Endowment for the Humanities, National Historical Publications and Records Commission, Institute for Museum and Library Services National Leadership Grants, U.S. Department of Education.
4. Collaborative funding is strongly encouraged; efforts and successes with other funding sources, including those mentioned above, should be described in the proposal.
5. Multiple preservation and digitization projects proposed in a given year from one institution are, as a group, less competitive because of limited funding. Applicants must also consider their capability and capacity to staff and manage multiple projects simultaneously. An applicant seeking LSTA support for multiple projects should identify its priorities among the projects in its proposals.
6. Routine, ongoing operations of a library will not receive favorable consideration for a grant, e.g., current cataloging, book repair, library binding, and facilities' maintenance.
7. In general, LSTA funds will not be used to preserve or convert an entire library.

See the flier "Criteria for Eligibility to Receive Grant Funding" in the packet entitled "Guidelines for Developing LSTA Grant Proposals" for information on historical societies in relation to LSTA projects.